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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

JAHNS et al.

Serial No.: 10/658,984

Filed: September 10, 2003

Confirmation No.: 3965

Atty. File No.: 44500-00342

For: "INDUSTRIAL PROCESS FAULT  
DETECTION USING PRINCIPAL  
COMPONENT ANALYSIS"

) Group Art Unit: 2857

) Examiner: Not Yet Assigned

) INFORMATION DISCLOSURE STATEMENT

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| <p style="text-align: center;">CERTIFICATE OF MAILING</p> <p>I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH<br/>THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE<br/>ADDRESSED TO COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA,<br/>VA 22313-1450 ON <u>5/14/04</u></p> <p style="text-align: center;">MARSH FISCHMANN &amp; BREYFOGLE LLP</p> <p>BY: <u>[Signature]</u><br/>DAXMARA SANCHEZ</p> |
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to Applicant's duty of disclosure under 37 CFR § 1.56 and 37 CFR §§ 1.97-1.98, Applicant hereby submits the enclosed PTO Form 1449, although Applicant does not admit that any of such documents, alone or in any combination, is considered to be material to patentability as defined in 37 CFR § 1.56(b). Moreover, the inclusion of these documents is not to be construed as an admission by Applicant that each such document is prior art as to the above-identified application.

Pursuant to the Official Gazette Notice of August 5, 2003, copies of any U.S. Patents or published U.S. Patent Applications are not being submitted herewith. Copies of any foreign patent and non-patent documents are submitted herewith.

Attorney Docket No.: 44500-00342

PATENT APPLICATION

Respectfully submitted,

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Date: May 14, 2004

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

MAY 18 2004

ATTY DOCKET NO.

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2857

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |     | DOCUMENT NUMBER | DATE     | NAME              | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-----|-----------------|----------|-------------------|-------|----------|-------------------------------|
|                      | 1.  | 5,658,423       | 08/19/97 | ANGELL ET AL.     | 438   | 9        |                               |
|                      | 2.  | 5,864,773       | 01/26/99 | BARNA ET AL.      | 702   | 85       |                               |
|                      | 3.  | 6,153,115       | 11/28/00 | LE ET AL.         | 216   | 60       |                               |
|                      | 4.  | 6,192,826       | 02/27/01 | SMITH, JR. ET AL. | 118   | 723      |                               |
|                      | 5.  | 6,419,846       | 07/16/02 | TOPRAC ET AL.     | 216   | 60       |                               |
|                      | 6.  | 6,442,445       | 08/27/02 | BUNKOFSKE ET AL.  | 700   | 108      |                               |
|                      | 7.  | 6,521,080       | 02/18/03 | BALASUBRAMHANYA   | 156   | 345.24   |                               |
|                      | 8.  | 2002/0104832    | 08/08/02 | TANAKA ET AL.     | 219   | 121.41   |                               |
|                      | 9.  | 2002/0119668    | 08/29/02 | BELL              | 438   | 707      |                               |
|                      | 10. | 2003/0055523    | 03/20/03 | BUNKOFSKE ET AL.  | 700   | 108      |                               |
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## FOREIGN PATENT DOCUMENTS

|  |  | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|--|-----------------|------|---------|-------|----------|-------------|----|
|  |  |                 |      |         |       |          | YES         | NO |
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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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|  | A. | Infineon Technologies, "USING MULTI WAY PCA (MPCA) FOR ADVANCED MONITORING AND DIAGNOSIS FOR PLASMA PROCESSING BASED ON OPTICAL EMISSION SPECTROSCOPY" by Zimpel et al., SEMATECH AEC/APC Symposium XII, (Sept. 24-28, 2000) |
|  | B. | Infineon Technologies, "SUPERVISION OF PLASMA PROCESSES USING MULTI-WAY PRINCIPAL COMPONENT ANALYSIS" by Knobloch et al, IVC-15 Int'l Symposium. (Oct. 02-06, 2000)  |

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| EXAMINER | DATE CONSIDERED |
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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|  |  | C. | Eigenvector Research, Inc., "DEVELOPMENT AND BENCHMARKING OF MULTIVARIATE STATISTICAL PROCESS CONTROL TOOLS FOR A SEMICONDUCTOR ETCH PROCESS: IMPROVING ROBUSTNESS THROUGH MODEL UPDATING" by Gallagher et al. (1997) |
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